



## Grant Making Operational Procedures

### 1.0 Introduction

University Hospitals Coventry and Warwickshire Charity is the official charity of University Hospitals Coventry and Warwickshire NHS Trust and exists to support and improve the health and wellbeing of the patients of these organisations.

It does this by supporting:

- Patient Care;
- Non Commercial Research;
- Staff Education.

The Charity also administers, and supports the fundraising for the charitable funds that support Coventry and Warwickshire Partnership NHS Trust.

University Hospitals Coventry and Warwickshire Charity achieves its objectives by funding projects, services and resources that are beyond the basic provision of the NHS and may be beyond the remit of the NHS. This may include new equipment; facilities; services; environmental improvements; patient communications; patient comforts and non-commercial research and innovation in healthcare. It may also be used to support staff welfare and training where it can be demonstrated to have a direct beneficial impact on patient care.

### 2.0 Charitable Funds

University Hospitals Coventry and Warwickshire Charity holds income in a general charitable fund or a charitable fund that supports a specific patient group or research programme.

The Charity will be free in principle to change the way this is structured or un-designate some funds, subject to the guiding principles of adhering to patient wishes in the Memorandum of Understanding.

The Trustees of the Charity are responsible for spending the donations received inline with the Charity objectives and will do so by awarding grants from each charitable fund.

The Trustees of the Charity take advice for awarding grants from at least one Fund Adviser for each charitable fund. The Fund Adviser is a volunteer, who is a NHS Trust staff member from the department of the NHS Trust that the fund supports. The Fund Adviser is responsible for:

- identifying funding needs in line with the Charity funding criteria and submit annual spending plans;
- supporting grant applications made by staff, checking that they are within the Charity's funding criteria and have gone through the NHS Trust's business planning processes;
- ensuring all staff, are aware of the Charity and its role; and that they know how to make grant applications to the Charity;
- promoting the Charity, ensuring staff, patients and visitors etc. are aware of the enhancements to patient care and facilities that the Charity has funded;
- working with the Charity to exploit fundraising opportunities and to steward donors.

Fund Advisers will play an important role with the new charity as the Trustees are keen to increase the number of grants awarded, through the utilisation of charitable funds. The Charity will review the performance of the Fund Adviser (at least annually). If they fail to carry out these responsibilities the Charity may require the NHS Trust to replace the Fund Adviser or amalgamate the fund into an appropriate fund such as the General Fund.

### **3.0 Submission of Grant Applications**

Grant applications from University Hospitals Coventry and Warwickshire NHS Trust and Coventry and Warwickshire Partnership NHS Trust will be submitted by the Fund Adviser.

The Charity may also support other organisations including but not necessarily limited to other NHS bodies, universities (in particular in connection with research) other charities and social enterprises that support the beneficiaries of the charity. These applications should be supported by an executive member of University Hospitals Coventry and Warwickshire NHS Trust or Coventry and Warwickshire Partnership NHS Trust and must always be considered by the trustees of the Charity.

The Charity requires the NHS Trust to evidence that:  
the application has the appropriate authorisation;

- the NHS Trust accepts that they have responsibility for any costs not listed in the application;
- the NHS Trust accepts that they have responsibility for all ongoing costs which may include staff, rent, maintenance and life-cycle/replacement, staff training etc;
- and that all grants applications of £25,000 or above have NHS Trust's Chief Executive approval.

On receipt the Charity will review the application to ensure that it is complete and to advise if further information is required.

## 4.0 Responsibility for Decision Making

- Grant applications up to £4,999

The Head of the Charity will have delegated responsibility to consider and award grants that are less than £5,000. These grant awards will be considered on a weekly basis and will be reported at the Charity's trustee meetings.

- Grant applications £5,000 - £20,000

The Head of the Charity and Chairman of the trustees will have delegated responsibility to consider and award grants of £5,001 - £20,000. These grant awards will be considered on a monthly basis and will be reported at the Charity's trustee meetings. They may decide to refer the decision to the full trustee board at their next trustee meeting.

- Grant Applications of more than £20,000

Decisions regarding grant applications of more than £20,000 will be made by the full trustee board at a trustees meeting.

Applications must be received no later than 2 weeks prior to the trustee meeting in order to be considered. The fund adviser must be available to attend the trustee meeting that considers their application.

A list of the submission dates and trustee meetings is available from the Charity Office and [www.uhcwcharity.org](http://www.uhcwcharity.org)

### **Please Note**

The trustees of the Charity may establish advisory committees to review and recommend the applications to be supported. For example a Research and Innovation advisory committee that will consist of knowledgeable professionals, such as the Head of Research and Development at UHCW NHS Trust.

If it will assist in the funding decision the trustees may request further information or that the applicant attends meets the Head of the Charity in order that they can ask questions relating to the application.

## 5.0 The Decision Making Criteria

The decisions for all grant applications will be made against the same criteria:

- The Organisation
  - Applications can be submitted in connection to patient care and non-commercial research provided by:
    - University Hospitals Coventry and Warwickshire NHS Trust;
    - Coventry and Warwickshire Partnership NHS Trust.

- Other organisations including but not necessarily limited to other NHS bodies, universities (in particular in connection with research) other charities and social enterprises that support the beneficiaries of the charity. These applications should be supported by an executive member of University Hospitals Coventry and Warwickshire NHS Trust or Coventry and Warwickshire Partnership NHS Trust and must always be considered by the trustees of the Charity.
- Not Mandatory to the NHS
 

The Charity will award grants to fund projects, services and resources that are beyond the basic provision of the NHS and may be beyond the remit of the NHS. This may include new equipment; facilities; services; environmental improvements; patient communications; patient comforts and non-commercial research and innovation in healthcare. It may also be used to support staff welfare and training where it can be demonstrated to have a direct beneficial impact on patient care. This will include:

  - Prevention - this may include funding/supporting services that are in the community that will prevent people being admitted into the hospital or being referred to community healthcare and mental health services. This may include promoting good health and wellbeing;
  - Treatment and cure;
  - Managing chronic and long-term illnesses;
  - Discharge from care - supporting patients who are well enough to be discharged with an appropriate care/support package.

The new charity may meet the start-up cost of a new service; or invest in services with an appropriate benefit sharing arrangement with partner organisation(s).

- Patient Benefit
 

The application must demonstrate how the funding need will impact on the health care or well-being of patients, the difference it will make to current provision and the number of patients to benefit.
- Sustainability
 

It cannot be assumed that grant will be awarded annually. The application must demonstrate that the NHS Trust will take responsibility for revenue and lifecycle costs.

If the grant request is to fund a pilot, the application must demonstrate the future funding if the pilot proves successful. At the end of the research, the applicant must have the ability: to provide a report to show what has been achieved and link this to the grant that was awarded.

- Reputational Impact and Donor's Wishes

The Charity will consider the reputational impact and the donor's wishes before awarding a grant. For example it is recognised that there is patient benefit by NHS staff attending conference where contributions are made by world-class healthcare professionals and where pioneering care and treatments for patients are discussed; and by the NHS Trust's staff presenting and contributing to such conferences. However, there may be impact on the reputation of the Charity by using donations in a way considered inappropriate by the public. For example, supporters may have concerns if the charitable funds are used to meet the substantial costs for the same NHS staff attending an international conference, every year; or when grants are made post graduate qualifications that have no immediate patient benefit (when the benefit is several steps away from the patient on the ward).

- Public Benefit

The beneficiaries of the charity include

- People living in the communities served by University Hospitals Coventry and Warwickshire NHS Trust or Coventry and Warwickshire Partnership NHS Trust - mainly Coventry and Warwickshire, the Midlands region, but patients may come from a wider geographical area;
- People of all ages;
- People of disability and ill health.

The Charity must ensure that there is public benefit to the item that is being funded.

- Principle 1: There must be an identifiable benefit or benefits:
  - It must be clear what the benefits are;
  - The benefits must be related to the aims of the charity;
  - Benefits must be balanced against any detriment or harm.
- Principle 2: Benefit must be to the public or a section of the public:
  - The beneficiaries must be appropriate to the aims;
  - Where the benefit is to a section of the public, the opportunity to benefit must not be unreasonably restricted. The Charity cannot support applications that benefit an individual patient or group of individual patients

The benefit must have regard to the donors intentions to support specific area of the hospital

- NHS Trust Authorisation

Before awarding a grant, the Charity must ensure that application has the appropriate NHS Trust authorisation.

- Staff Education

Grants to support staff attending courses and conferences may be subject to additional considerations such as:

- Personal benefit linked to a qualification or accreditation

- Reason for attending an overseas venue rather than a course, or conference in the UK or Europe
- **Non Commercial Research**  
Grants to support research may have additional considerations such as:
  - Expected outcomes/benefits and their relevance to the Charity's objectives;
  - Link to external funding;
  - Timeline;
  - Expert backers;
- At the end of the research, the ability to provide a report to show what has been achieved and link to the grant that was awarded.
- **Funding Priorities**  
The trustees of the Charity may, in consultation with the NHS Trust, set funding priorities and require applications to be submitted within this funding theme. These priorities may be time limited in order to support a specific strategic objective.

## **6.0 Applications for £5,000 or above**

Please ensure that applications for items/projects of £5,000 or above clearly evidence:

- all elements of the project as they must not be dis-aggregated
- how the item/ project
  - is beyond the remit of the basic provision of the NHS Trust
  - supports the service development plan for the department and fits in with the NHS Trust strategy (the delivery of the strategy must not be reliant on a charitable grant)
- that the item/ project has been through all NHS Trust business planning processes and the appropriate NHS Trust authorisation has been obtained subject to external funding being secured.

## **7.0 Terms and Conditions of Accepting a Grant Award**

A grant will be awarded subject to terms and conditions that may include:

- That the item/project has gone through all NHS Trust business planning procedures and that the application has appropriate authorisation.
- The value of the grant awarded is the maximum value available.  
If on receipt of the award the Trust identifies the cost has increased, the Head of the Charity will have authority to increase the value of the grant awarded by the

lower of 10% of the original award value or by a maximum of £1,000. If the cost has risen substantially it may need to be reconsidered by the Charity.

- The NHS Trust accepts it is responsible for any costs not listed in the application form and for all ongoing costs which may include staff, rent, maintenance and life-cycle/replacement, staff training etc.
- That the grant must be used only for the purpose outlined in the grant application; and if any the specific restrictions for using the grant award;
- Dependent on the purpose of the grant that the NHS Trust will ensure that:
  - a piece of equipment is available at all times during its lifecycle
  - buildings, facilities and refurbishments will be used for the purpose outlined in the application for the agreed time span (normally a minimum of five years).
- For equipment, courses, literature etc.
  - That no later than 12 weeks after the awarded of the grant (and purchase of the item) the NHS Trust will provide accounts or an invoice to the Charity to the evidence the grant has been used for the purpose given.
- For projects (in addition to above)
  - That the Charity must be informed if the project changes including any delays in the projects timetable as Charity approval must be obtained;
  - That there are clear accounts and six monthly updates must be available to the Charity;
  - That no later than 12 weeks after completion of the project the NHS Trust will provide the final accounts and a final progress report to the Charity to the evidence the grant has been used for the purpose given.
- The NHS Trust will reimburse unspent portions of the grant to the Charity within 12 weeks of the grant application;
- The NHS Trust will provide agreed acknowledgement for the Charity's support and assist the Charity with publicity for the support given;
- The NHS Trust will inform the Charity if an who has received a grant to attend a course or conference leaves the NHS Trust within 3 years of the course date.
- The circumstances upon which the Charity will reclaim its grant.

The terms and conditions for grants in support of staff attending courses and conferences and for non-commercial research, innovation and developments may differ.

The Charity may make exceptions to the terms and conditions if the NHS Trust has promptly kept them fully informed of any changes in circumstances, such as delays, prior to spending the grant award.

### 8.0 Grant Payment Timetable

Timing	Action
Weekly	<p>Inform the NHS Trust of the successful applications and value awarded</p> <p>Pay individuals who have had prior authorisation to meet costs themselves</p>
Monthly	Pay the total value of grants awarded in a month to the NHS Trust
End of the quarter (and year end)	Receive from the NHS Trust a copy invoice/accounts for completed projects/orders
	Receive from the NHS Trust any unspent portions of the grants award from the previous quarter
Six monthly (and year end)	For projects that are not complete, such as new facilities, receive from the NHS Trust clear accounts and an update to the project.

### 9.0 Appeals

The Charity may carry out appeal fundraising for specific projects that the NHS Trust has identified as priority but requires charitable funding to make possible; when the Charity considers the project will have public support and generate fundraising income. The Charity will require the NHS Trust to agree to certain commitments on accepting a project for an appeal. The commitments will be agreed for each appeal.

### 10.0 Charity Income

Charity income refers to legacies, donations (including in memoriam donations) and income raised at fundraising events given in support of the care given by UHCW NHS Trust (its wards, services and staff) and in support of its non-commercial research. This income may be received from individuals, companies or organisations (known as donors or fundraisers).

When aware that a donation is being made or a person will be taking part in a fundraising event to support a service, UHCW NHS Trust staff should put donor or fundraiser immediately in touch with University Hospitals Coventry and Warwickshire Charity in order that they can offer the appropriate support and advice.

The charity income will be given to University Hospitals Coventry and Warwickshire Charity and banked into the appropriate charitable fund. If income is received at a ward or service it should be given to University Hospitals Coventry and Warwickshire Charity

with in one working day, with any correspondence, and the full name and address of the donor. Income received directly into the Trust bank account should be paid promptly to University Hospitals Coventry and Warwickshire Charity (within 1 month of it being received by the Trust).

University Hospitals Coventry and Warwickshire Charity will bank the donation into the appropriate charitable fund, receipt and thank the donor within five working days of receiving the donation.

Fund Advisers will receive the details of charity income received and available to spend in a monthly fund statement. They can also request these details at any time.

### **11.00 Reference**

Please also refer to:

- UHCW Charity Guidance For Applying For A Grant For Equipment, Facilities and Services
- UHCW Charity Guidance For Applying For A Grant For Courses, Conferences and Visits To Places Of Excellence
- UHCW Charity Guidance For Charity Appeals

For UHCW NHS Trust

- UHCW NHS Trust's Fundraising Policy
- UHCW NHS Trust's Visitors Policy

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